



# Challenges, Opportunities & New Directions

March 19-20, 2007

*Hosted by: Oklahoma State University  
Oklahoma City, Oklahoma*

**NSF Regional Grants Conference**



# Ask Early, Ask Often!

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# Coverage

- Challenges and Opportunities Along The Road Ahead
  - Tom Cooley
- Electronic Initiatives
  - Stacie Boyd



# Challenges & Opportunities Along the Road Ahead

- Backdrop – The overall “environment” includes:
  - The political landscape
  - Constrained budgets
  - “War time” environment
  - Disaster relief funding
  - Deficit reduction
  - Economic uncertainty
  - Trade deficit



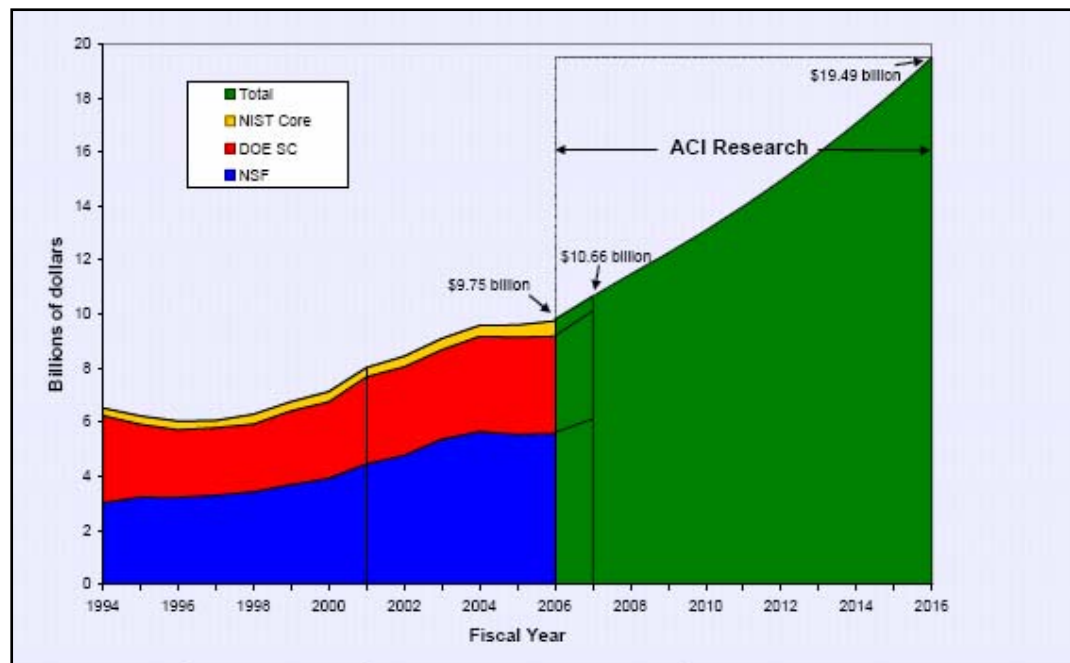
# Challenges & Opportunities Along the Road Ahead

- There is some good news for R&D
- *The American Competitiveness Initiative*

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# American Competitiveness Initiative Research, FY 2007 – FY 2016



	FY 2006 Funding	ACI Research FY 2007		ACI Research FY 2016	
	(billions of dollars)	(billions of dollars)	% increase	(billions of dollars)	% increase over FY06
NSF	\$5.58	\$6.02	7.8	\$11.16 <sup>1</sup>	100.0
DoE SC	\$3.60	\$4.10	14.0	\$7.19 <sup>1</sup>	100.0
NIST Core <sup>2</sup>	\$0.57 <sup>3</sup>	\$0.54	-5.8 <sup>4</sup>	\$1.14 <sup>1</sup>	100.0
<b>TOTAL</b>	<b>\$9.75</b>	<b>\$10.66</b>	<b>9.3</b>	<b>\$19.49</b>	<b>100.0</b>

<sup>1</sup> ACI doubles total research fund; individual agency allocations remain to be determined.

<sup>2</sup> NIST core consists of NIST lab research and construction accounts.

<sup>3</sup> The 2006 enacted level for NIST core includes \$137 million in earmarks.

<sup>4</sup> Represents a 24 percent increase after accounting for earmarks.



# American Competitiveness Initiative

- Goals:
  - Boost physical sciences
  - More attention to math and science education in public schools
  - Focus on applied energy research
  - Make Research and Experimentation Federal tax credit permanent
- Limitations (as proposed in FY 2007):
  - Flat lines NIH for next 5 years
  - Freezes NASA's spending on earth and space sciences



# American Competitiveness Initiative: The Haves

- Doubles over 10 years:
  - DOE Science Programs
  - NSF
  - NIST
- NOAA: +6% in FY 2008
- VA R&D: +7% in FY 2008
- USGS: +3% in FY 2008

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# **American Competitiveness Initiative: The Have Nots (in FY 2008)**

- NIH: +2%
- NASA: -1%
- EPA: -4%
- USDA R&D: +1%
- DOT: -5%

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# **Congress and the Budget: The Future Appears Bright**

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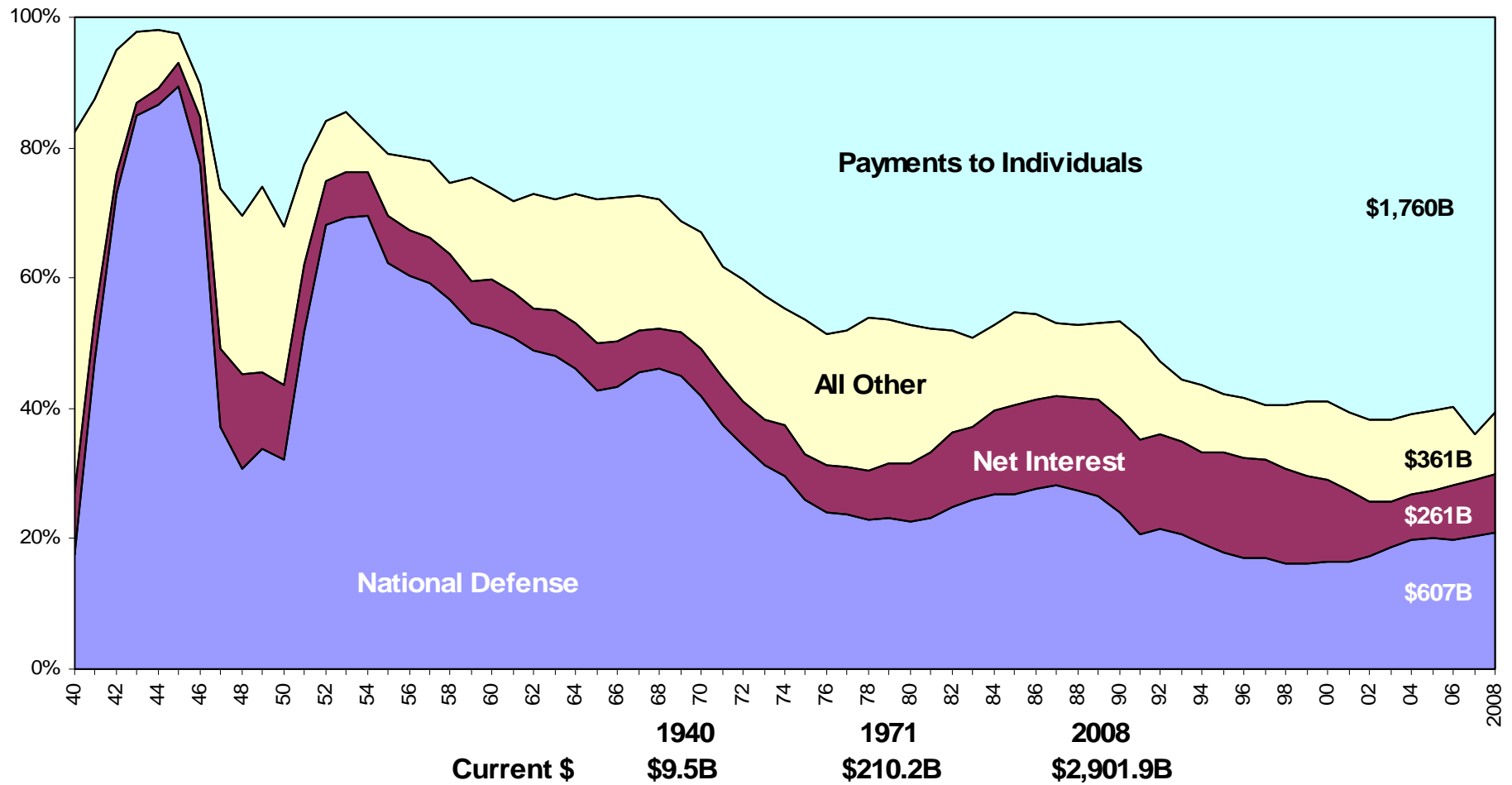
# NSF's Key Congressional Players

- New Congress - major shift of leadership
- House and Senate Budget Committees
- Authorization Committees
  - House Science Committee/Sub-committees
  - Senate Health, Education, Labor & Pensions Committee
  - Senate Commerce, Science & Transportation Committee
- Appropriations Committees
  - New staff all around

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## Percentage Composition of Federal Government Outlays





# FY 2007 and 2008 R&D Budget Highlights

## FY 2007

- DHS: 25.8 % under 2006
- Agriculture: 5.0 % under 2006
- Defense: 5.6 % over 2006
- NASA: 2.6 % over 2006
- NIH: 0.7 % over 2006
- Commerce:
  - NOAA: 14.4 % under 2006
  - NIST: Level with 2006
- DOE Science: 0.8 % under 2006
- USGS: 1.3 % under 2006
- EPA: 8.8 % under 2006

## FY 2008

- DHS: 1.0 % under 2007
- Agriculture: 13.2% under 2007
- Defense: 1.3 % over 2006
- NASA: 7.0 % over 2007
- NIH: 0.9 % over 2007
- Commerce:
  - NOAA: 16.9 % over 2007
  - NIST: 23.9 % over 2007
- DOE Science: 22.0 % over 2007
- USGS: 1.2 % over 2007
- EPA: 0.9 % under 2007

Data Source: Table 5-1 Federal Research and Development, FY 2008 Analytical Perspectives, p. 51 and OMB MAX database.



# R&D Budget

Budget Authority (Dollar amounts in millions)	2008 Proposed	Percent Change
Defense	78,862	1%
Health and Human Services	29,027	1%
NASA	12,428	7%
Energy	9,224	10%
National Science Foundation	4,880	15%
Agriculture/USDA	2,010	-13%
Veterans Affairs	822	0%
Commerce	1,088	18%
Homeland Security	1,068	-1%
Transportation	812	8%
Interior	621	-2%
Environmental Protection Agency	562	-1%
Other	1,251	2%
<b>TOTAL</b>	<b>142,655</b>	<b>3%</b>



# Along the Road Ahead

- There are some continuing “challenges” for our community:
  - Policies and procedures at Federal agencies “all over the map”
  - Compliance looming large
  - NSF: Difficult to balance award size, duration and success rates
  - Audits continue to frustrate

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# Politics and Procedures: What are the Touch Points?

- Several Reasons
  - Congressional Intent (laws, regulations, authorizing language, etc.)
    - Example: Improper Payments Improvement Act of 2002
  - Administration Practices or policies (OMB guidance, Administration's political platform, etc.)
    - Example: Nanotechnology Initiative
  - Agency/Department Policy (grants policies, terms and conditions, operating guidance, etc.)
    - Example: NSF Cost sharing policy
  - Community Drivers (NAS, FDP, COGR, AAU, NASULGC, professional societies, etc.)
    - Example: Success rates, award size and duration



# Financial Statement Audits

- Ours and Yours
  - Issue: Recording expenditures properly
- Federal Government's Area of Improvements
  - More scrutiny of FCTR's will require more documentation
  - Heightened scrutiny of A-133 reports
  - Site visits to high-risk awardees
- Your Area of Improvements
  - Better accounting system; segregation of costs
  - Better documentation
  - Clean A-133 audits (OIG reviews/recommendations)



# **Research Business Models (RBM)**

## **Subcommittee, Committee on Science, National Science and Technology Council**

- **Federal cross-agency coordination to address important policy implications**
  - Arising from the changing nature of interdisciplinary and collaborative research
  - Examine the effects of these changes on business models for the conduct of scientific research sponsored by the Federal government.
- **Outreach with the FDP, COGR, SRA, NCURA, and others continues**

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# RBM: Current Activities

- Multiple PIs
- Research Terms & Conditions
- Interim Progress Reports
- Conflict of Interest Policy
- Voluntary Institutional Compliance Program Guidance
- Enhanced A-133 compliance supplement on sub-recipient monitoring

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# RBM: Results of January 2007 Retreat

- RBM should continue to exist – the mission is still important
- Focus for 2007 – finish what is on our plate including logical follow-on activities
- Focus for 2007 – “engage customers”
  - Publicize what we have done with RBM
  - Solicit customer input on the value of what we have done, their concerns, and what is most important
- Develop a pipeline of issues/initiatives to prepare for the next administration

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# RBM Goals

- Reduce the burden where it makes sense to do so with common best practices
- Provide forum for communication and exchanging ideas across agencies
- Broaden and deepen work projects
- Leverage limited dollars for both Federal agencies and research institutions
- Promote long-term research viability (includes training)

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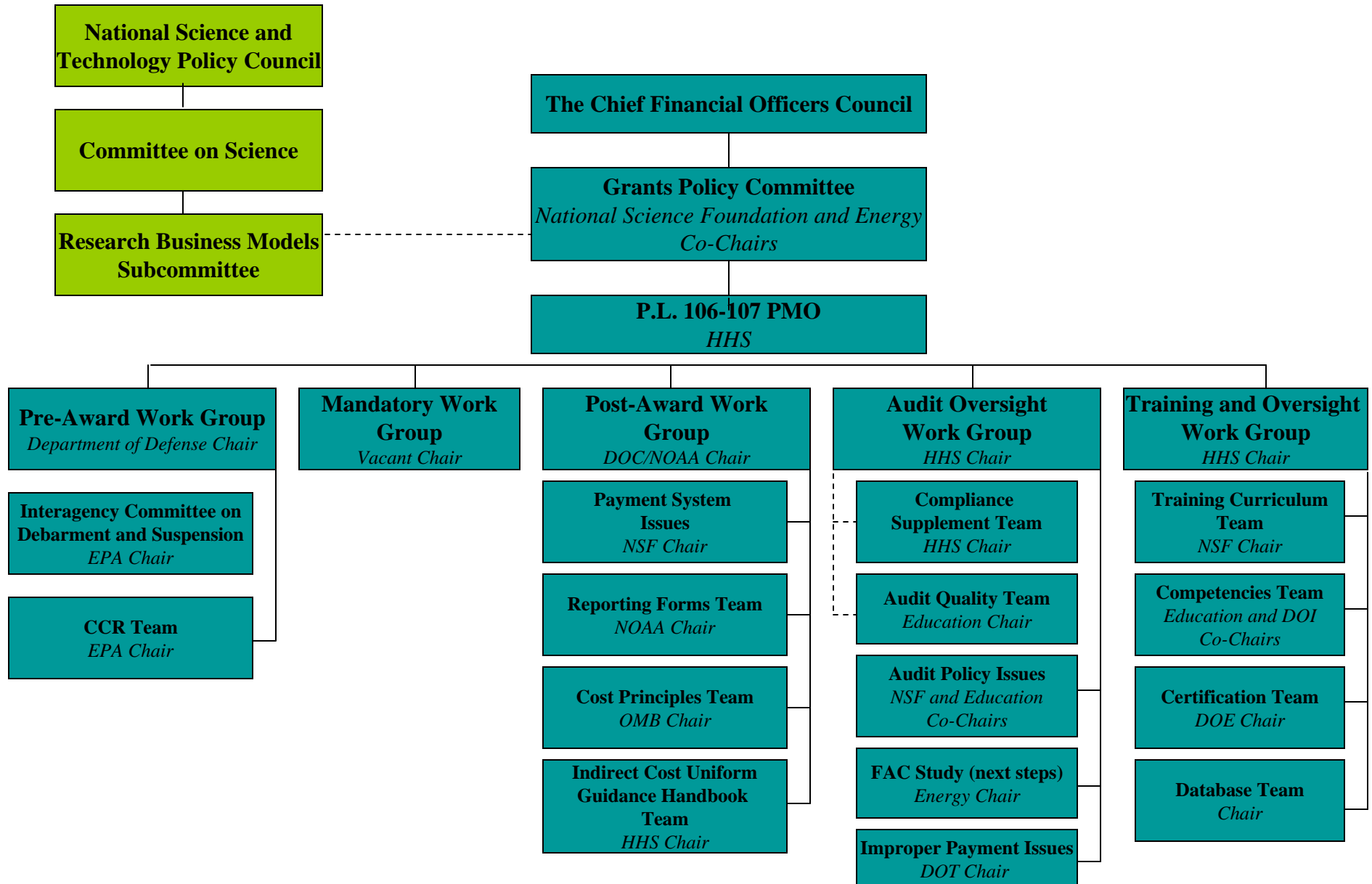


# Outreach and Communication

- Likely to have additional regional public meetings
  - Possibly in conjunction with the Grants Policy Committee and Grants.gov
- Will continue outreach through FDP, SRA, NCURA, COGR, etc.
- See the RBM web site for the latest news  
<http://rbm.nih.gov/>

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# The Federal Grant Streamlining Program



A	B	C	D	E	F	G
<b>Grants Policy Committee: Tasks, Schedule and Milestones (as of 03/31/2006)*</b>						
<b>[Dates shown are targets for planning purposes and they are subject to change due to unplanned events.]</b>						
<b>Task</b>	<b>Next GPC Milestone</b>	<b>Status</b>	<b>1st Fed. Reg Notice of Proposal</b>			
Post-Award Work Group:						
Cost Principles to 2 CFR	FY 2008	FY 2008	FY 2008			
Federal Financial Reports	2 Q FY 2006	3 Q FY 2006	2Q FY 2007			
Indirect Cost Uniform Gridlines Handbook	4 Q FY 2006	3 Q FY 2006	1 Q FY 2007			
Invention Reports	None; approved by GPC, March 2006	At OMB for review	2Q FY 2007			
Payment Systems Recommendation	3 Q 2006	3 Q FY 2006	NA			
Research Performance Reports	None; approved by GPC, December 2005	At OMB for review	2Q FY 2007			
Non-Research Project Reports	None; approved by GPC, March 2006	At OMB for review	2Q FY 2007			
Real Property Reports	None; approved by GPC, December 2005	At OMB for review	2Q FY 2007			
Tangible Personal Property Reports	None; approved by GPC, March 2006	At OMB for review	2Q FY 2007			
Pre-Award Work Group:						
Standard Award Content and Format (2 CFR, gov't-wide)	4 Q FY 2006	In Preparation	2 Q FY 2007			
Interim Award Terms and Conditions (Research Only) **	4 Q FY 2006	In preparation	2 Q FY 2007			
Other Pre-Award Portions of 2 CFR (A-89, CCR, late applications, etc.)	TBD	In Preparation	TBD			
Certifications & Assurances	2 Q FY 2007	2 Q FY 2007	4 Q FY 2007			
Suspension & Debarment ***	3 Q FY 2006	3 Q FY 2006	Aug-05			
Drug-free and anti-lobbying OMB guidance for 2 CFR	TBD	Future Action	TBD			
Audit Work Group						
Compliance Supplement ****	3 Q FY 2007	3 Q FY 2007	NA			
Katrina-related Audit Questions	3 Q FY 2006	3 Q FY 2006	NA			
Quality Control Review of the A-133 Audits	3 Q FY 2007	In Preparation	NA			
* Products, such as from the Training and Oversight Work Group, are not included here no they do not affect the public but rather deal with training of Federal staff to strengthen the way they manage grants in this new environment.						
** In collaboration with the Research Business Models Subcmte of the COS/NSTC						
*** Handled by the ISDC, in association with the Pre-Award Work Group.						
**** And annually thereafter.						

< Sheet1 / Sheet2 / Sheet3 /



# Grants Policy Committee

- Involving Stakeholders
  - Stakeholder recently held on March 8, 2007
    - Was webcast from USDA
    - Purpose: Feds “listen” to customer concerns and recommendations and then prioritize and get on with it
    - Notably 6 new forms:
      - Inventions
      - Real Property
      - Tangible Property
      - Research Progress Report
      - Federal Financial Report
      - Performance Progress Report
    - Still to come: Terms & Conditions for 2CFR

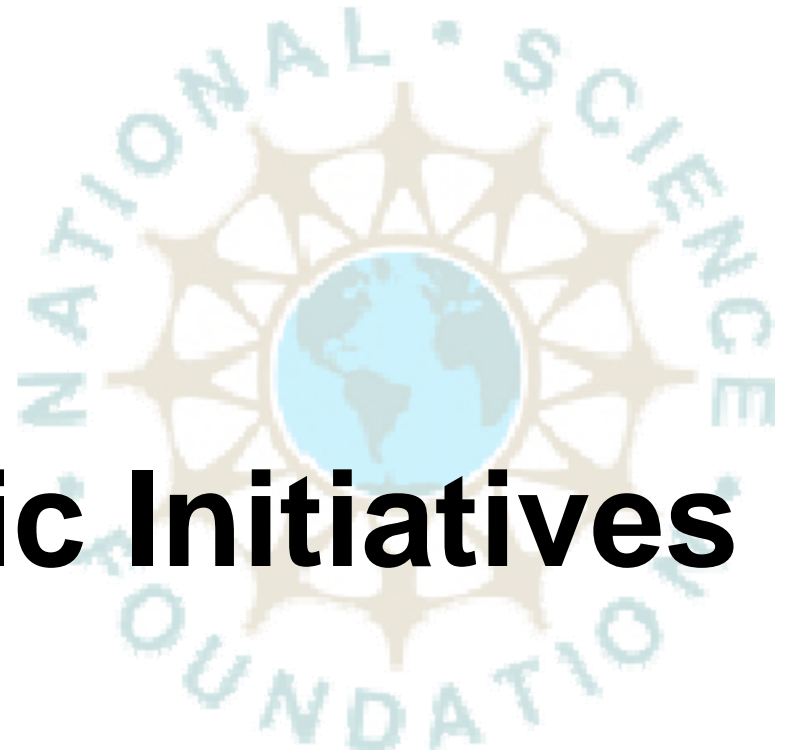
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# Federal Funding Accountability & Transparency Act (FFATA)

- Task Force formed (Nov. 2006 - led by OMB)
  - Committee structure in place and operating
    - Contracts
    - Grants
    - Loans
    - IT
- FederalSpending.gov launched (Feb. 2007)
- Data elements defined
- Impact: Place of performance
- Next Step: Pilot grantee and sub-awardee data

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# Electronic Initiatives



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# What's the Latest On?

- [Grants.gov](https://www.grants.gov)
- Grants Management Line of Business (GMLoB)
- [Research.gov](https://www.research.gov)



# Background

- **Grants.gov**
  - Government wide Policy and Implementation Governing Structures for e-Grants Initiatives
  - Grants.gov's Purpose and Goals
  - Current and Future Status
  - How NSF has Implemented Grants.gov

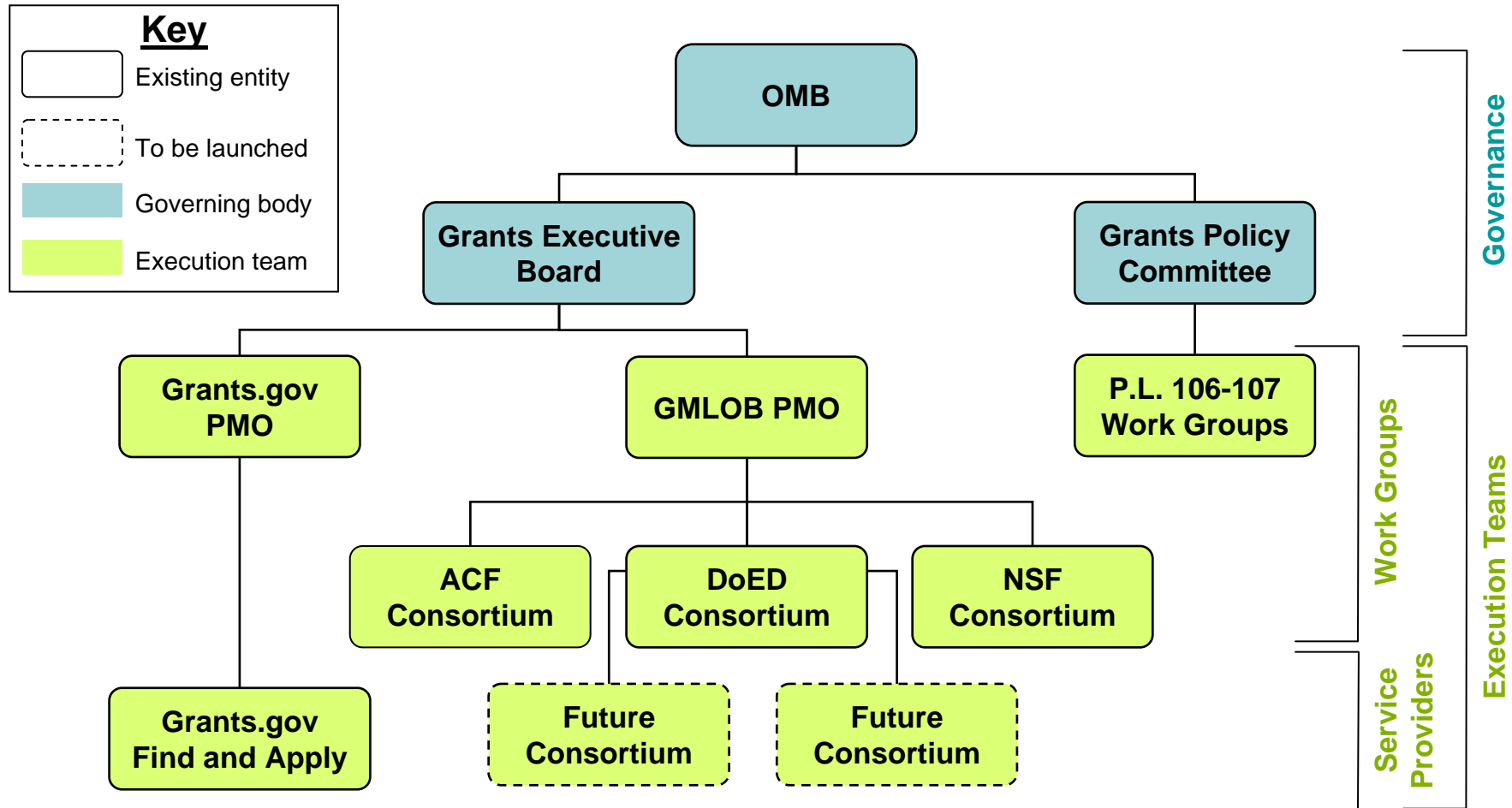


## Background *(Cont.)*

- **Grants Management Line of Business (GMLOB)**
  - What is the Grants Management Line of Business?
  - GMLOB Purpose and Goals
  - Current and Future Status
  - NSF's Diverse Roles in the GMLOB:  
Leading and Implementing



# Organizational Structure





# What is Grants.gov?

- A single source for finding grant opportunities
- A standardized manner of locating and learning more about funding opportunities
- A single, secure and reliable source for applying for Federal grants online
- A simplified grant application process with reduction of paperwork
- A unified interface for all agencies to announce their grant opportunities, and for all grant applicants to find and apply for those opportunities

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# Grants.gov

## Current Status and Next Steps

- All 26 grant-making agencies are required to post all discretionary grant programs in the Grants.gov Find
- OMB has directed agencies to post in Grants.gov Apply:
  - 75% of their funding opportunities in FY 2006;
  - 100% of their funding opportunities in FY 2007.

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# NSF Implementation in 2007

- Those programs designated required in 06 will remain required in 07
- Unless otherwise specified, optional submission for the vast majority of NSF programs
- Will not be used until a Grants.gov solution has been developed for:
  - Separately submitted collaborative proposals
  - Fellowship programs that require submission of reference letters



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# Required to be submitted through Grants.gov in 2007

- Antarctic Artists and Writers (OPP)
- Scientific Computing Research Environments for the Mathematical Sciences (MPS)
- Living Stock Collections (BIO)
- Advanced Learning Technologies (CISE)
- CEDAR, GEM, and SHINE Postdoctoral Research (GEO)
- Research in Disability Education (EHR)
- Infrastructure Materials Applications and Structural Mechanics (ENG)
- Geography and Regional Science (SBE)

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# What is GMLOB?

- A government-wide solution to support end-to-end grants management activities that promote citizen access, customer service, and agency financial and technical stewardship.
- System consolidation
- Interoperability
  - Streamlined processes
  - Standardized nomenclature
  - Common interface touchpoints



# Why GMLOB?

- Transparency and efficiency in the grants decision making process
- Improved access to grants-related programmatic and financial information
- Enhanced ability to report on award-related accomplishments
- Improved post award monitoring and oversight



## How?

- Grants management community will process grants in a decentralized way using common business processes supported by shared technical support services.



# Current Status

- **Department of Education (ED)**

- ED's core competency is administering and managing thousands of grants that provide educational and vocational opportunities for all citizens.
- ED's approach is unique in that consortium members will have the opportunity to participate in the design of a new, full lifecycle, end-to-end grants management system from the ground up.
- ED's system will be built to work with a large volume of information and transactions suitable for larger grant-making agencies.



## Current Status *(Cont.)*

- **Department of Health and Human Services (HHS)  
Administration for Children and Families (ACF)**
  - Seven agencies and over 80 grant programs already use HHS ACF's Center of Excellence (COE), including USDA FSIS, HHS HRSA, and Treasury CDFI.
  - HHS ACF's systems incorporate all 14 GMLOB grant award processes both for awarding agencies and recipients as well as extensive and flexible post-award reporting mechanisms.
  - HHS ACF's systems can manage all types of grants and cooperative agreements, including "earmarks" and non-competitive projects.



## Current Status *(Cont.)*

- **National Science Foundation (NSF)**
  - NSF will lead a research-oriented consortium based upon GMLoB goals and the business needs of both partnering agencies and the grantee community.
  - NSF will offer the Research.gov web portal that leverages its experience with Grants.gov and the Research and Related (R&R) initiative to provide access to functionality that benefits the research community.
  - Research.gov focuses on the needs of the grantees by providing them with greater access to the government, streamlined functionality, and flexibility to account for differing agency research missions.

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# Research.gov at NSF



# Why NSF was Chosen as a Consortium Lead

- Focus on the research community
- Recognized for high standards by customers
- Leadership position in the grants community
- 12 years of experience and capabilities as shown by FastLane
- Unique operating model—menu of high-value services for both Federal partners and the research community



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# Research Community Benefits

- A single web portal for research institutions to:
  - Conduct grants business with Federal research agencies, and
  - Find information about agency policies and upcoming events.
- Increased quality and scope of services for the research community.
- Services delivered on a modern technology platform.



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# NSF GMLoB Consortium Guiding Principles

- The approach will be deliberate, modular, conservative, and research community focused.
- Research community must directly benefit from this initiative.
- Whatever we do, we are going to do it well.
- Low cost, high impact offerings that deliver value to grantees will be implemented first.
- The initiative must focus on improvement; cost avoidance, not just cost savings.

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# Research.gov Menu of Services

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Home | Funding Opportunities | News

**Logon to Research.gov**

Login using USDA E-Authentication

Login with FastLane E-Authentication

Authentication

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Use our online tools to find research funding opportunities, check the status of your applications, submit project reports, and much more.

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[Rise in Sea Level, Loss of Wetlands May Account for Unstable Ground in Mississippi Delta](#)  
Released January 21, 2007

[Paleontologists Establish First Age Distribution of Non-Avian Dinosaur Population](#)  
Released January 13, 2007

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- Submit [Research Project Reports](#)
- Submit [Sub-award](#) information
- Request [Cash Drawdowns and Payments](#)
- [PDF Conversion](#) for applications and reports
- Find grant opportunities and apply for funding at [Grants.gov](#)
- Report inventions at [iEdison.gov](#)

**Federal Research Links**

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[National Oceanic and Atmospheric Administration](#)  
[National Science Foundation](#)  
[Office of Naval Research](#)  
[Environment Protection Agency](#)  
[Department of Energy](#)  
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# Research.gov Portal Example

**Research.gov**

Search Site

Home | Funding Opportunities | News

**Login to Research.gov**

Login using USDA E-Authentication

Login with FastLane E-Authentication

Authentication

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Welcome to Research.gov, the government-wide portal for research institutions. We are dedicated to fostering close ties between the Federal government and the research community to ensure that the United States remains a leader in research in science and engineering.

Use our online tools to find research funding opportunities, check the status of your applications, submit project reports, and much more.

**Search Research Awards** [Advanced Search](#)

**Grant Application Status** [See All](#)

Agency	Tracking ID	Title	Status
NSF	<a href="#">9876243</a>	Self-Descriptive Computable Specifications Digital Envoys	Recommended for Award
NSF	<a href="#">9734211</a>	MEMS-Embedded Buildings and Structures (MEBAS)	Awarded
CSREES	<a href="#">2007-00011</a>	Development of Real-time DNA-based Diagnostics for WSV and YHV Infections	Under Review
CSREES	<a href="#">2007-00195</a>	A Simple, Robust Wind-Driven Reverse Osmosis System	Declined

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- Submit [Federal Financial Reports](#)
- Submit [Research Project Reports](#)
- Submit [Sub-award](#) information
- Request [Cash Drawdowns and Payments](#)
- [PDF Conversion](#) for applications and reports
- Find grant opportunities and apply for funding at [Grants.gov](#)
- Report inventions at [iEdison.gov](#)

**Annual/Final Reports** [See All](#)

Agency	Award Nbr	Due Date	Submittal Status	Action
NSF	<a href="#">9734211</a>	07/07/2007	Submitted	<a href="#">Withdraw</a>
NSF	<a href="#">9734231</a>	12/31/2007	Not Submitted	<a href="#">Create/Edit</a>
CSREES	<a href="#">2005-12345</a>	10/01/2007	Submitted	<a href="#">Withdraw</a>
CSREES	<a href="#">2006-12345</a>	10/01/2007	Not Submitted	<a href="#">Create/Edit</a>

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# Grant Application Status

- On-going Partnership with USDA/CSREES
  - Pilot in August 2006 demonstrated joint grant application status
  - Gained both technical and business lessons learned



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# Moving Forward

## TIMELINE

- OMB selected NSF as a GMLoB Consortium Lead

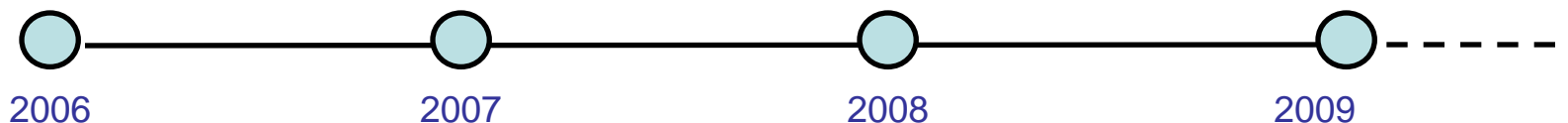
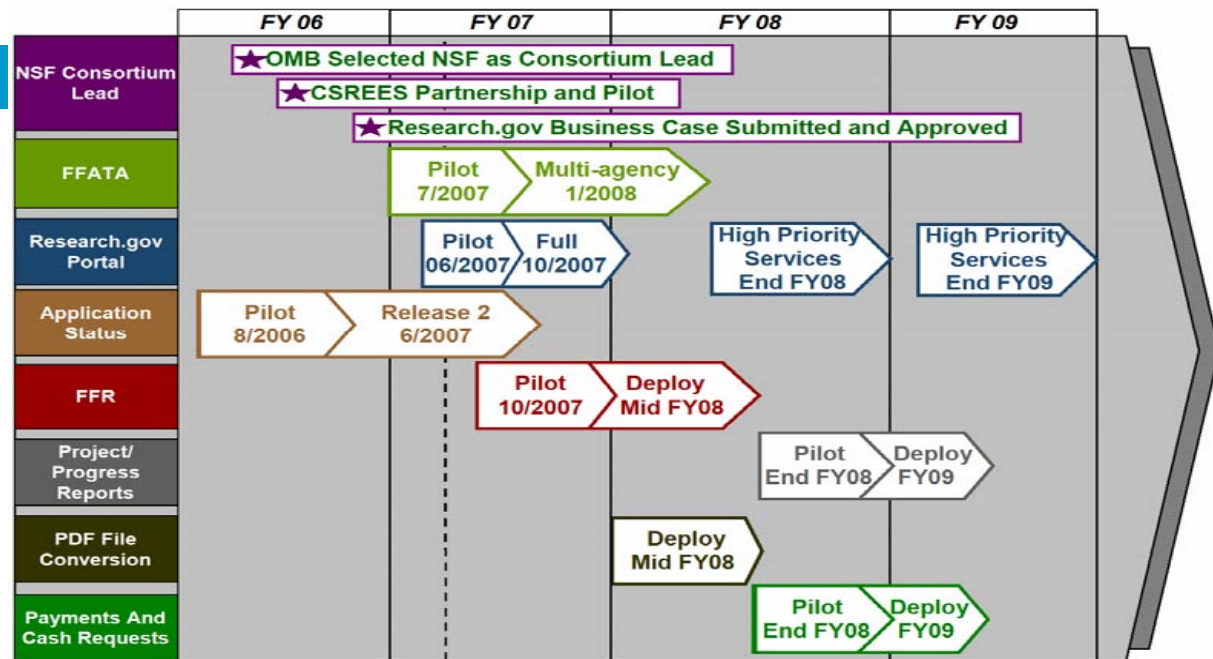
- Application Status Pilot with USDA/CSREES deployed

- Research.gov Business Case submitted and approved

- Pilot portal and initial set of services

- Deploy portal and initial set of services

- Deploy additional services



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# Why Research.gov is important

- Fulfills demand in the community for improved “e-services” tailored to research community
- Allows federal research agencies to sign up and offer services to their grantees using Research.gov tools
- Establishes a Federal Consortium delivering common IT services focused on the research grant community
- Continues NSF’s leadership role in advancing electronic grants management initiatives

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## Next Steps

- Continue successful grantor/grantee partnerships between NSF and the research community
- Expand this model to the government-wide initiative level
- Provide a common face and services to the research community through NSF's Consortium
- Increase quality and scope of service available to the research community via Research.gov



# NSF Websites

National Science Board	<a href="http://www.nsf.gov/nsb/">http://www.nsf.gov/nsb/</a>
Director/Deputy Director	<a href="http://www.nsf.gov/od/">http://www.nsf.gov/od/</a>
Inspector General	<a href="http://www.nsf.gov/oig/">http://www.nsf.gov/oig/</a>
Office of Cyberinfrastructure	<a href="http://www.nsf.gov/dir/index.jsp?org=OCI">http://www.nsf.gov/dir/index.jsp?org=OCI</a>
Office of International Science and Engineering	<a href="http://www.nsf.gov/div/index.jsp?div=OISE">http://www.nsf.gov/div/index.jsp?div=OISE</a>
Office of Equal Opportunity Programs	<a href="http://www.nsf.gov/od/oeo/index.jsp">http://www.nsf.gov/od/oeo/index.jsp</a>
Office of Legislative and Public Affairs	<a href="http://www.nsf.gov/od/lpa/index.jsp">http://www.nsf.gov/od/lpa/index.jsp</a>
Office of the General Counsel	<a href="http://www.nsf.gov/od/ogc/index.jsp">http://www.nsf.gov/od/ogc/index.jsp</a>
Office of Polar Programs	<a href="http://www.nsf.gov/dir/index.jsp?org=opp">http://www.nsf.gov/dir/index.jsp?org=opp</a>
Office of Integrative Activities	<a href="http://www.nsf.gov/od/oia/index.jsp">http://www.nsf.gov/od/oia/index.jsp</a>
Biological Sciences	<a href="http://www.nsf.gov/dir/index.jsp?dir=BIO">http://www.nsf.gov/dir/index.jsp?dir=BIO</a>
Social, Behavioral & Economic Sciences	<a href="http://www.nsf.gov/dir/index.jsp?dir=SBE">http://www.nsf.gov/dir/index.jsp?dir=SBE</a>
Computer & Information Science & Engineering	<a href="http://www.nsf.gov/dir/index.jsp?dir=CISE">http://www.nsf.gov/dir/index.jsp?dir=CISE</a>
Education & Human Resources	<a href="http://www.nsf.gov/dir/index.jsp?dir=EHR">http://www.nsf.gov/dir/index.jsp?dir=EHR</a>
Engineering	<a href="http://www.nsf.gov/dir/index.jsp?dir=ENG">http://www.nsf.gov/dir/index.jsp?dir=ENG</a>
Budget, Finance & Award Management	<a href="http://www.nsf.gov/bfa/">http://www.nsf.gov/bfa/</a>
Geosciences	<a href="http://www.nsf.gov/dir/index.jsp?dir=GEO">http://www.nsf.gov/dir/index.jsp?dir=GEO</a>
Information Resource Management	<a href="http://www.nsf.gov/oirm/">http://www.nsf.gov/oirm/</a>
Mathematical & Physical Sciences	<a href="http://www.nsf.gov/dir/index.jsp?dir=MPS">http://www.nsf.gov/dir/index.jsp?dir=MPS</a>